

**Department of Defense Design and Implementation of the
National Defense Authorization Act (NDAA) 2010 Personnel Authorities (New Beginnings)
Communications Plan
FOR OFFICIAL USE ONLY — PRE-DECISIONAL DOCUMENT**

Desired End State

Multiple audiences (internal and external) educated on the Department's progress on the design and implementation of civilian personnel authorities provided to the Secretary of Defense (SecDef) in section 1113(d) of the National Defense Authorization Act for Fiscal Year (FY) 2010 (NDAA 2010), as amended by section 1102 of the NDAA for FY 2012 (P.L. 112-81).

Background

- The NDAA 2010 directed the Department of Defense to design and implement a new performance management program, provide for flexibilities relating to appointments, and granted authority to establish a Civilian Workforce Incentive Fund. Specifically, section 1113(d) of NDAA 2010:
 - Provided the SecDef authority to—
 - Promulgate agency rules and regulations, in coordination with the Director of the Office of Personnel Management (OPM), providing for:
 - ✓ A new performance appraisal system that is fair, credible, and transparent, and
 - ✓ Redesigned procedures for use within DoD to make appointments to positions within the competitive service in a way that supports the mission, managers, and applicants; and
 - Establish, at the Secretary's discretion, a fund to be known as the DoD Civilian Workforce Incentive Fund (CWIF) to incentivize DoD employees based on team or individual performance and to attract or retain employees with particular or superior qualifications or abilities.
 - Amended section 9902(c)(2) of title 5, United States Code (U.S.C.), and required the Department ensure “a means for involving employees (for bargaining unit employees, through their exclusive representatives) in the design and implementation of . . .” the authorities.
- Beginning in April 2010, a group comprised of representatives from the DoD Components, organizations that represent DoD employees (unions, Federal Managers' Association), OPM, and other stakeholders, was established to meet the statutory requirement for ensuring employee involvement through unions for bargaining unit employees, and to meet the Executive Order requirement for union pre-decisional involvement (PDI). The process came to be known as “New Beginnings.”

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- From the end of February 2011 through the end of September 2011, three “New Beginnings” joint labor-management design teams—Performance Management, Hiring Flexibilities, and Civilian Workforce Incentives—met and engaged in extensive research, analysis, discussion, and consultations with subject matter experts, and developed proposals for the design of the personnel authorities.
- During July through September 2012, the Department studied and ultimately endorsed the vast majority of the design teams’ recommendations for a DoD-wide performance management system, hiring flexibilities, and workforce incentives, briefing the DoD Labor-Management Roundtable members on December 6, 2012.
- The Department submitted its plans for the new personnel authorities to the Congressional Committees on March 29, 2013. Subsequent progress reports were submitted on June 28, 2013, December 12, 2013, July 24, 2014, December 31, 2014, and June 30, 2015. The next semi-annual progress report is due by December 31, 2015.
- The Department established a multi-functional Integrated Product Team (IPT) charged with developing action plans, milestones, and progress reports. The IPT serves as a central point of integration and collaboration to support the joint development of a comprehensive communication, training, and implementation plan and strategy for the Department. This IPT has assisted the Department in focusing on the overarching goals required to meet its objectives, while retaining visibility over each of the initiatives and identifying the steps needed to achieve the intent of the authorities.
- The Department will continue to work with the national level unions as we develop policy and tools in support of the new Department of Defense Performance Management and Appraisal Program (DPMAP) as well as the implementation of other “New Beginnings” initiatives. A joint labor-management Roundtable Implementation Working Group was established to provide input in support of the implementation requirements associated with all the approved personnel authorities. The Working Group has regular and recurring meetings with DoD subject matter experts to discuss implementation of the initiatives with the union officials.

Objectives

- Communicate to external audiences (e.g., Congressional staff, unions with recognition at the Department level, media) that the Department has made decisions to pursue/implement in some form the vast majority of the design teams’ recommendations.
- Communicate to external audiences that the Department found great value in the pre-decisional design process with DoD employee unions, and will continue to work with the national level unions as we implement a DoD-wide Performance Management and Appraisal Program (DPMAP) and other flexibilities.

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- Communicate to external and internal audiences (e.g. DoD civilians, supervisors, managers, and Human Recourse Practitioners) an overview of the Department's decisions on the personnel authorities in the following areas Performance Management, Appointment Flexibilities, Training and Development, and Workforce Incentives. This includes the Department's decision to include a three-level rating pattern in the DPMAP.
- Communicate to internal audiences the new personnel authorities so that senior leaders will engage and facilitate delivery of consistent messages, generate an accurate understanding of the new performance management expectations, and establish a culture that embraces a shared commitment to high performance.

Assumptions and Observations

- Design and implementation of the NDAA 2010 personnel authorities is a complex undertaking. Unprecedented events, such as sequestration and civilian furlough in 2013, disrupted the progress of designing and implementing the personnel authority decisions.
- The collaborative initiative known as "New Beginnings" has been touted as the largest joint labor-management pre-decisional effort in the Federal government since the President signed E.O. 13522 in December 2009.
- As the Department develops policy based on its decisions on the joint labor-management design teams' recommendations, we are working with the unions that have recognition at the national-level, consistent with our practice, as we do on any civilian personnel policy matter and in accordance with the NDAA and statutory requirements.
- The Department is focused on building the force of the future and on what we must do to change and adapt to maintain superiority well into the 21st century. In the coming years, the Department will have many opportunities to build upon the strengths of our civilian workforce. We have already started focusing on these opportunities through the New Beginnings initiative.

Strategy and Process

- Provide biannual progress reports on the status of the Department's plan for new personnel authorities, to include the DPMAP, to the Armed Services Committees of the Senate and House of Representatives, Senate Committee on Homeland Security and Governmental Affairs, and House Committee on Oversight and Government Reform.

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- Continue to meet with the DoD Labor-Management Roundtable on the design and implementation of the decisions informed by the design teams' recommendations in the following areas: Performance Management, Appointment Flexibilities, Training and Development, and Workforce Incentives.
- Continue to develop memoranda, information papers, web links, and briefings, as appropriate, to promote support for and educate audiences on "New Beginnings" initiatives moving forward, to include the new DPMAP.
- Respond to query, as appropriate.

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Top Line Key Themes/Messages

- DoD has released its report to Congress on the progress that has been made implementing the new personnel authorities during the past six months.
- The Department continues to demonstrate considerable progress toward implementation of the personnel authorities, and has continued to involve national-level labor representatives in the implementation process.
- As part of implementation, the Department will deploy a DoD-wide Performance Management and Appraisal Program (DPMAP) that will cover the vast majority of its civilian employees and will enable more seamless movement of civilian employees through the Department.

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The program will link organizational mission and goals to individual performance plans, will ensure regular feedback during the appraisal cycle between employees and supervisors, and result in increased employee engagement, morale, and effectiveness.

- The DPMAP:
 - Is consistent with the legislative requirement of the NDAA 2010, which requires the Secretary, in coordination with the Director, OPM, to promulgate regulations providing for “[a] fair, credible, and transparent performance appraisal system for linking employee bonuses and other performance-based actions to performance appraisals of employees;
 - Fosters a high-performance culture by making meaningful distinctions in performance that will be acknowledged formally in the rating process and will be used to inform other personnel-based decisions, including not only awards and recognition, but also promotions, training, and developmental opportunities;
 - Is consistent with the requirements in section 351.504 of Title 5, Code of Federal Regulations (CFR), as it continues to provide the ability to retain high performing employees to meet the Department’s mission by granting greater service credit for top performers during reductions-in-force; and
 - Consists of the following proposed major tenants:
 - a 3-level rating pattern;
 - a rating cycle of April 1 through March 31;
 - a minimum period of 90 days required to be eligible for a rating; and
 - a minimum of three performance review discussions required between the supervisor and employee.
- DoD’s decision to implement a three-level performance management and appraisal program is consistent with 5 CFR § 430, Performance Management, and has been coordinated with OPM.
- The Department plans to begin a phased implementation of the DPMAP in April 2016.
- The DPMAP is one of many initiatives that resulted from Congressional direction to implement improved civilian personnel authorities. The Department is also focused on:
 - Streamlining the hiring process, to include the enhancement of existing automated hiring tools and the DoD Hiring Manager’s Toolkit;

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- Training for supervisors and managers, as well as training to improve the skills and advisory capabilities of DoD's human resource practitioner workforce.
- Implementing effective means of recruiting, compensating, and incentivizing the workforce, which includes a focus on strategic workforce planning to shape an effective workforce for today and into the future.
- In May 2015, the Department launched the DoD Hiring Manager's Toolkit, which provides an all-encompassing resource for hiring managers, and serves as a consolidated "one stop shop" for a variety of resources a hiring official needs to effectively carry out a hiring action. The tool will be continually improved and updated as more resources are developed.
- The Department will continue to involve employees through the unions that have recognition at the national level as we develop policy on the new authorities, consistent with our practice, as we do on any civilian personnel policy matter, and in accordance with NDAA and statutory requirements.

Questions and Answers

What is "New Beginnings"?

"New Beginnings" is a collaborative labor-management effort involving the Department and a broad array of DoD employees and national-level union representatives, to design and implement significant reforms to Human Resource practices and policies, including implementation of a new Department-wide Performance Management and Appraisal Program, in order to better meet mission requirements.

Does the DPMAP apply to the vast majority of civilians - who doesn't this apply to and why?

The DPMAP will cover the majority of the Department's civilian workforce; however, the Department is currently reviewing authorities granted to cover certain groups of employees under other performance management programs. For example, Senior Executive Service employees, those covered by the Defense Civilian Intelligence Personnel System, and Demonstration Lab employees will not be covered by the new program because their performance programs are developed under separate legal authorities. Final determinations with respect to coverage will be made prior to implementation.

What are the personnel authorities that Congress authorized for DoD?

NDAA 2010 amended section 9902 of title 5, United States Code (U.S.C.), to provide the Secretary of Defense (SecDef) authority to:

- Promulgate agency rules and regulations, in coordination with the Director of the Office of Personnel Management (OPM), providing for—

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- A new performance appraisal system that is fair, credible, and transparent; links awards and other performance-based actions to employee performance appraisal; and provides for regular on-going performance feedback throughout the appraisal cycle; development of attractive career paths; and development of employee performance assistance plans; and
- Redesigned procedures for use within DoD to make appointments to positions within the competitive service in a way that supports the mission, managers, and applicants; and
- Establish, at the Secretary's discretion, a fund to be known as the DoD Civilian Workforce Incentive Fund to incentivize DoD employees based on team or individual performance, and to attract or retain employees with particular or superior qualifications or abilities.

Why did the Department decide to implement a three-level appraisal program versus some other system?

A three-level appraisal program was selected to implement across the Department because it:

- Is consistent with the legislative requirement of the NDAA 2010, to provide “[a] fair, credible, and transparent system for linking employee bonuses and other performance-based actions to performance appraisals of employees;
- Promotes a high-performing culture by making meaningful distinctions in performance that will be acknowledged formally in the rating process and will be used to inform other personnel-based decisions, including not only awards and recognition, but also promotions, training, and developmental opportunities; and
- Provides the ability to retain high performing employees to meet the Department's mission by granting greater service credit for top performers during reductions-in-force.

What are the roles of the DoD Labor-Management Roundtable and the Labor-Management Roundtable Implementation Working Group?

The DoD Labor-Management Roundtable engages in pre-decisional involvement (PDI), as well as national consultation rights (NCR) notice and discussion, and is the means by which the national unions provide input and raise concerns for the Department's consideration prior to finalizing new policy that impacts bargaining unit employees. The Labor-Management Roundtable Implementation Working Group was established by the DoD Roundtable to continue the engagement of the unions in the development and implementation of the personnel authority decisions.

What are the next steps for implementation of the performance appraisal program?

The Department, through continued collaboration with key stakeholders such as the Office of Personnel Management, labor representatives, and Component leadership, will finalize regulations required to implement the requirements of section 9902 of title 5, United States Code, for a

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“[a] fair, credible, and transparent system for linking employee bonuses and other performance-based actions to performance appraisals of employees.” In addition, the Department is developing the implementation and training plans for the DPMAP.

What is the timeline for implementation of the DPMAP?

The Department plans to begin a phased implementation of the three-level DPMAP in April 2016.

How will the Department assist and support implementation of the DPMAP?

In support of the implementation of the DPMAP, the Department is developing an implementation plan including a holistic approach to ensure the Department effectively communicates and trains all stakeholders on the mechanics of the new system, and also the associated culture changes that will be required for successful implementation. Additionally, we are planning train-the-trainer events prior to the Department’s phased implementation, to ensure DoD Components are fully prepared to disseminate training and messaging that is consistent across the Department

How many people will this affect?

The change to the DPMAP will impact the vast majority of DoD civilian employees across each of the Department’s components to include General Schedule and Federal Wage System employees.

What are some of the benefits for a Department-wide performance management and appraisal program?

Deploying a Department-wide performance management and appraisal program across the Components for the vast majority of civilian employees will enable seamless transition of employees throughout the Department during career progression and workforce restructuring. The program will also link organizational mission and goals to individual performance plans, ensure regular feedback during the appraisal cycle between employees and supervisors, and result in increased employee engagement, morale, and effectiveness.

Will this decision cost the Department any additional money?

The Department is identifying costs associated with implementing the new program.

How does the DPMAP change the way the Department recognizes and rewards employees?

Traditionally, employees receive recognition and rewards at the end of the rating cycle. The DPMAP will emphasize and promote timely recognition and reward of employee contributions throughout the rating cycle. Continuous feedback is key, and no longer just about the “365th day.”

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Has the new performance management and appraisal tool been developed?

Significant progress has been made on the DoD Performance Management and Appraisal Program's automated tool, MyPerformance, which will accompany the new program. In March 2015, Component and labor representatives participated in formal testing of the MyPerformance tool, providing valuable feedback on its content and functionality.

How and when are the Design Team recommendations aimed toward better educating Hiring Managers being implemented?

On May 28, 2015, the Department launched the "Hiring Manager's Toolkit," which serves as a consolidated "one stop shop", providing access to tip sheets, guides, checklists, and pamphlets to assist hiring managers with the hiring process.

What does the Hiring Manager's toolkit consist of?

The Hiring Manager's Toolkit addresses the four key phases of the hiring process and promotes collaboration between the hiring manager and Human Resources professionals. The toolkit provides an all-encompassing resource for hiring managers, and is comprised of an online collection of 23 guides, checklists, quick references, pamphlets, and tip sheets for the hiring manager and Human Resources staff. Here are a few examples of the guides included in the toolkit: Guide to Workforce Planning, Job Analysis Guide, Hiring Options Guide, Guide to Veterans Hiring, Interview Guidelines, and the Onboarding Guide.

Is the Hiring Manager's toolkit available to the public?

The Hiring Manager's Toolkit is CAC-enabled, and therefore only accessible to DoD employees with CACs.

What specific Automation improvements have been implemented to improve the hiring process?

The Department has also incorporated new automated enhancements into the DoD hiring process, successfully implementing the majority of the automation initiatives proposed by the original Design Teams. The Department has now fully migrated to USA Staffing for its hiring processes, with automation improvements now available, to include additional status notifications to applicants, and improved ways in which applicants can navigate to and view job vacancy announcements. The Department is also making full use of the robust USAJOBS synonym dictionary to assist with keyword searches and a map search capability to assist with location searches, improving the job seeker experience for DoD's Federal Wage System (FWS) applicants.

What other progress has been made with the implementation of decisions informed by the New Beginnings Design Teams?

The Department has also made significant progress on training for supervisors and managers, as well as on steps to improve the skills and advisory capabilities of its human resource practitioner workforce. To do so, the Department is expanding training opportunities and increasing functional competency through the use of the Office of Personnel Management's (OPM) Human Resources University (HRU), knowledge transfer programs, and an increased focus on Human Resources (HR) functional training. Additionally, DoD Instruction 1400.25, Volume 410: Training, Education, and Professional Development Plans, has been published, which covers performance assistance at the employee-level

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through Individual Development Plans. Volume 410 also addresses performance assistance in the aggregate, i.e., through Component-level training, education and professional development plans that will be established in tandem with the Department's 2016-2021 strategic workforce planning cycle.

Who can take Human Resources (HR) training on OPM's HRU?

Any DoD employee can register for, and take training on, OPM's HRU training portal. Much of the HR training available through HRU is free, while some training is available for a fee.

How has Strategic Workforce Planning contributed to "New Beginnings"?

The Department is committed to implementing effective means of recruiting, compensating, and incentivizing the workforce in order to shape an effective workforce for today and into the future. The sound use of workforce incentives depends on a foundation that includes strategic planning for the organization and its workforce to ensure that incentives are used effectively to meet recruitment and retention needs. The Department continues to focus on its strategic workforce planning efforts, now fully integrating more than 600 occupations, including crafts and trades occupations, covering approximately 735,000 employees into a Functional Community construct based on similar job and occupational families.

When will the next Congressional Report be delivered to Congress?

The current schedule is for DoD to deliver the report to Congress semiannually in June and December.

Audiences & Tactics:

Date	Event/Materials	Participants	Staff Lead	Details
30 June 2015	Sign/date New Beginnings Letters	P&R, CPP	CPP	
TBD	Formal Hill Notification	CPP, OSD-LA	OLD-LA	Transmit to HASC/SASC/HSGAC/HOGR
TBD	Notify Unions of transmittal	CPP	CPP	DCPAS transmit notification to NCR unions
TBD	Respond to Queries	OSD-PA	OSD-PA	Answer media follow-up questions